Stellent Records Management v7.0
by Stellent, Inc.

Stellent Summary Report

The Joint Interoperability Test Command (JITC) tested Stellent, Inc.'s Stellent Records Management v7.0, a web-based records management application (RMA) at the Stellent facility in Eden Prairie, Minnesota 2 through 11 February 2004. The implementation was verified using version 7.1 of the Test Procedures and was compliant with DoD 5015.2-STD, dated June 2002. All mandatory requirements were satisfied.

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1.   Product Identification

Stellent Records Management v7.0 is a web-based RMA.

2.   Test Configuration

Stellent Records Management v7.0 consists of:

- Stellent Records Manager
- Stellent Desktop (for Outlook Integration)

Stellent Records Management v7.0 was tested against Stellent Content Server v7.0.

The test configuration consisted of:

- One server running the MS Windows 2000 Server Service Pack (SP) 4 Server Operating System (OS), MS SQL Server 2000 (SP 3a), Stellent Records Management v7.0, and Stellent Content Server v7.0
- One web server running Internet Information Server (IIS) v5.0
- One server running MS Exchange 2003
- Two client Personal Computers (PCs) running MS Windows 2000 Professional (SP 4), MS Office 2002 Professional, Internet Explorer v6.0, and Netscape v7.1

In a subsequent configuration, JITC repeated the test using the Solaris v2.9 Server OS and the Oracle 9i database while using the same client configuration.

3.   RMA Mandatory Requirements

3.1   Managing Records [C2.1.1.]

Stellent Records Management v7.0, hereafter referred to as Stellent, manages electronic, non-electronic, and e-mail records. It stores electronic records in its repository and maintains them in original, native file format. Users maintain records stored on other media, such as paper, diskette, or tape by adding metadata through the user interface.

3.2   Accommodating Dates and Date Logic [C2.1.2.]

Stellent stores and displays dates using a 4-digit year format, and recognizes leap years including the year 2000. The product accepts user input of valid dates from current, previous, and future centuries.

3.3   Implementing Standard Data [C2.1.3.]

Stellent provides the capability to implement standard data elements. Field names and data types are customizable and are consistent throughout the user interface, including input screens, search menus and report output.

3.4   Backward Compatibility [C2.1.4.]

This is the first test for this product against version two of DoD 5015.2-STD[1], therefore test data was not available to verify backwards compatibility.

3.5   Accessibility [C2.1.5.]

Stellent, Inc. provided the 508 Voluntary Product Accessibility Templates (VPATs) provided as Appendix C in the detailed test report.

3.6   Implementing File Plans [C2.2.1.]

Stellent provides the required capabilities for creating and maintaining disposition instructions and file plans. Disposition instructions are assigned to record plan components when creating the file plan categories. Subcomponents under that level inherit the same disposition instructions.

Access to the associated Stellent functions is restricted through the assignment of privileges to groups and/or users. Stellent provides support for multiple levels of file plan access. During the test "privileged" users were able to create and manage folders.

3.7   Scheduling Records [C2.2.2.]

Stellent automatically tracks the disposition schedules for screening and disposition processing. Records managers reschedule files by assigning a different disposition instruction to the file or altering the retention period (which reschedules all records associated with that schedule).

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[1] Backwards Compatibility is a new requirement in the June 2002 version of DoD 5015.2-STD.

3.8   Declaring and Filing Records [C2.2.3.]

Stellent provides the capability to file both electronic and non-electronic records. Users file records to Stellent by logging in to the Stellent Records Management home page and clicking on the "New Check In" hyperlink. They check the "Is Record" checkbox to display all mandatory metadata fields, complete the profile, and click on "Check In." Users may also use the "Save As" integration in MS Word, Excel, or PowerPoint to file records.

At the time of filing, Stellent assigns a unique record identifier and a date/time stamp to each record. The date/time stamp serves as the required Date Filed profile field. Users cannot modify either field.

3.9   Filing E-mail Messages [C2.2.4.]

Stellent provides the capability to file e-mail messages from MS Outlook. Stellent automatically captures message transmission and receipt data to populate the Author/Originator, Addressee(s), Other Addressees, Publication Date, and Subject record profile fields.

When filing e-mail that has an attachment(s), Stellent presents the user with three options:

- **Separate Attachments**. Stores the e-mail only as an .msg file. Each attachment is stored separately in its native file format.
- **Keep Attachments**. Stores the e-mail as an .msg file including all attachments.
- **Ask**. Stores the e-mail as an .msg file and prompts users which of the attachments they want to keep with the e-mail and which they want to file separately.

3.10   Storing Records [C2.2.5.]

Stellent uses the server's file system for storing and preserving electronic records. The permissions assigned at the series, folder, and document levels determine who has access to the records and what each user can do with those records. Only users with appropriate access can delete records from the repository.

File plan and document profile data are stored separately from the actual records in a relational database. MS SQL Server 2000 and Oracle 9i provided the database capabilities during the compliance test.

3.11   Screening Records [C2.2.6.1.]

Stellent provides record screening functionality via search templates. To determine which folders are due for disposition actions, records managers select the disposition action (e.g., Cutoff, Close, Transfer, Accession, Destroy, etc.) from the "Due for Action" drop-down list and specify a date in the "By" field. Records managers can enter a future date to calculate disposition for planning purposes.

3.12   Closing Record Folders [C2.2.6.2.]

Stellent offers authorized users the ability to close folders by assigning them edit privileges on folders. To close a folder to further filing, authorized users select "Close" from the Actions menu on the folder information page or from the Actions icon for the folder on the screening results list.

3.13 Cutting Off Record Folders [C2.2.6.3.]

When record folders become eligible for cutoff, they are listed on records managers "My Pending Events" page. Records managers select the "Cutoff" action to cut off the folder.

3.14 Freezing/Unfreezing Records [C2.2.6.4.]

Stellent provides the capability to freeze and unfreeze folders and records. If a freeze is applied to a folder, Stellent prevents records managers from disposing of the folder and/or records attached to the folder.

3.15 Transferring Records [C2.2.6.5.]

Stellent processes pending event actions for records and folders every night (on a 24 hour cycle). Once the events (including Transfer events) have been processed, records managers log in to Stellent and click on the "My Stellent" hyperlink. They navigate to "My Records Assignments" and then click on "My Pending Events." Stellent displays all pending events, with the pending action listed next to the folder. To transfer records, records managers select "Get Records and Folders" from the Actions icon next to the listed event/action to create an export file.

Records managers send the contents of the transfer directories to the appropriate agency. After the agency acknowledges receipt of the items, records managers return to "My Pending Events" and select "Mark Completed." Records managers can also choose to destroy the records or destroy the records and keep the metadata before marking the transfer complete.

3.16 Destroying Records [C2.2.6.6.]

Records managers follow the same steps specified above for processing pending events. They log in to Stellent and access the "My Pending Events" page where folders ready for destruction are displayed. Records managers select "Destroy" from the Action icon to destroy the folder and records. Alternatively, records managers can select "Destroy Records but not Metadata" if they wish to retain the metadata within the system.

Stellent's audit log records all of the destruction transactions. Deleted records are not recoverable.

3.17 Cycling Vital Records [C2.2.6.7.]

Stellent provides the capability to gather records based on cycling dates and to do updates of cycle dates after records have been reviewed. When records managers create file plan categories and designate them as vital, they specify a cycle period for when vital records need to be reviewed. They also specify a "reviewer" to which an e-mail will be sent when vital records in that particular file plan are due for review. During the test, Stellent sent e-mail to the specified reviewer when vital records were due for review and cycling.

3.18   Searching for and Retrieving Records [C2.2.6.8.]

Templates guide simple and advanced searches in Stellent. Simple searches allow users the option to search on a limited set of field values, whereas advanced searches allow users to build complex searches using any combination of metadata fields and Boolean operators.

Users can select the exact fields to display in the search results list and specify the order. They also have the option to save commonly used searches. Records are retrieved based on the user's permissions.

Authorized users can also extract a copy of the record to the workstation.

3.19   Access Controls [C2.2.7.]

Stellent provides several methods to control user access to records held in the repository. This control is managed in several ways: user/group level access, file plan access, supplemental markings, and field level security. Combinations of these functions ensure that records can be held securely and can only be accessed by users with the permission to view or modify those records.

Stellent supports multiple-user access. During much of the certification test, two users worked simultaneously performing various functions including filing system maintenance, document filing, record retrieval, reporting, and disposition activities.

3.20   System Audits [C2.2.8.]

Stellent offers the capability to perform audit logging. The system audit log captures all activity that occurs in the repository to include delete, edit, create, retrieve, browse, and search.

Stellent collects the audit metadata specified in the Standard, including users' attempts at unauthorized access.

3.21   System Management Requirements [C2.2.9.]

The operating systems (MS Windows 2000 Server and Solaris 2.9) and the database management systems (MS SQL 2000 and Oracle 9i) provide the required system management capabilities.

4.   Non-Mandatory Features Demonstrated

4.1   Bulk Load Capability [C3.2.2.]

Stellent includes the capability to bulk load electronic and non-electronic records. Stellent's bulk load utility (Batchloader) provides a mechanism to "spider" a specified folder structure to capture a list of files to be loaded. Metadata for those records can be mapped from attributes of the folder structure (e.g. directory name, file name, or combination of directory and file attributes) or they can be specified explicitly.

4.2   Interface to other Software Applications [C3.2.3.]

Stellent includes a plug-in to MS Office applications (Word, Power Point, and Excel) that allows users to file records from within the application in which they were created. Users select "Save As" from the File menu to file records directly to Stellent. They complete the record profile and click "Check In" to file the record.

Stellent also provides a WebDAV interface that allows users to file records directly to Stellent using Windows Explorer. The WebDAV interface allows users to contribute records created in any application, with no client-side software required. In addition, Stellent provides a separate WebDAV client that can be installed on a user's desktop. This WebDAV client allows users to see additional information (e.g. metadata, file plan location, etc.) for records stored in Stellent.

4.3   Report Writer Capability {C3.2.4.]

Stellent includes a report writer that generates reports in PDF format. Out-of-the-box, Stellent provides:

- File Plan Report (for any user-selected section of the file plan)
- Search Results (for any search performed by the user)
- Screening Results (for any screening query performed by the user)
- Audit Trail (complete audit trail)
- Queries performed against the audit logs

The server can be configured to generate the reports in HTML instead of PDF, if desired. The layout of the reports is managed on the server in XML template files. These templates can be modified by the system administrator to suit the organization's needs.

4.4   On-Line Help Capability [C3.2.5.]

Stellent includes an on-line help capability. Users can navigate through a variety of help topics, or they can perform a search of the help index to locate a topic of their choice. Help is context-sensitive to the screen.

4.5   Retrieval Assistance Capability [C3.2.9]

Stellent includes an advanced search capability accessible to all users through the advanced search template. Users can perform a search on any metadata field and use Boolean operators to narrow the search results list. Users can save their search criteria for frequent use.

4.6 File Plan Component Selection/Search Capability [C3.2.10.]

Stellent's advanced search template allows users to search the database for a category or folder. Users select the "Is Record" checkbox on the search screen and then click on the "Browse" button next to "Category ID" or "Folder ID" to search the file plan.

4.7 Workflow/ Document Management Features [C3.2.11.]

Stellent includes the capability to design workflows using the "Workflow Admin" module available to authorized users. The authorized user defines the workflow criteria and all relevant steps. They check the "Enable" button when finished to activate the workflow.

Stellent maintains a Workflow Inbox for each user. Members in a workflow are notified by email when it is time for them to perform an action as part of the workflow. Users can click on a link from the email (or from the Workflow Inbox) to view the record that is in workflow and take appropriate action (e.g. Approve, Reject, etc.) from that page.

4.8 Internal Viewer Capability [C3.2.14.]

Stellent also provides its own internal viewer (Dynamic Converter) which allows users to view up to 255 different file types in HTML format. Dynamic Converter can be purchased as a separate module. It is also included as part of the Stellent Document Management solution.

4.9 Web Capability [C3.2.15.]

Stellent is a fully web-based RMA. All records (physical and electronic) and records management functions are URL accessible. The application is available through Internet Explorer 6.0 or Netscape 7.1.

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